

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*TFW*  
*3746*

In Re the Application of:

DONNELLY, Frank Wegner

Serial No.: 10/533,402

Filed: December 6, 2005

Atty. File No.: 5107-15

For: "DIRECT TURBOGENERATOR"

) Group Art Unit: 3746

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) Confirmation No. 4130

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) INFORMATION DISCLOSURE STATEMENT

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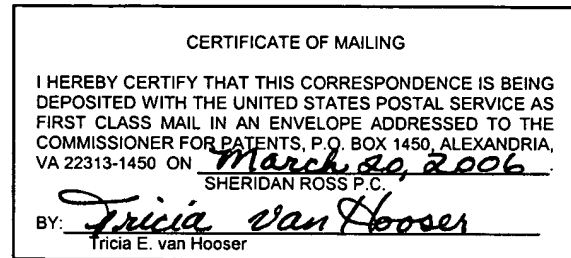
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Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The references cited on attached Form PTO-SB08 are being called to the attention of the Examiner.

- ☒ Copies of the cited non-patent and/or foreign references are enclosed herewith.
- ☐ Copies of the cited U.S. patents and/or patent applications are enclosed herewith.
- ☒ Copies of the cited U.S. patents/patent application publications are not enclosed in accordance with 37 C.F.R. § 1.98(a).

☐ Copies of the cited references are not enclosed, in accordance with 37 C.F.R. § 1.98(d), because the references were cited by or submitted to the U.S. Patent and Trademark Office in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

☒ To the best of applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

☐ Examiner's attention is drawn to the following co-pending applications, copies of which have been or are being submitted:

Serial No. \_\_\_\_\_ filed \_\_\_\_\_

Serial No. \_\_\_\_\_ filed \_\_\_\_\_

☐ Other: \_\_\_\_\_

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

### FEES

<input checked="" type="checkbox"/>	<p><b>37 CFR 1.97(b):</b> No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith satisfies one of the following conditions ("X" indicates satisfaction):</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or</li><li><input type="checkbox"/> Within three months of the date of entry into the national stage of an international application as set forth in 37 CFR 1.491 or</li><li><input checked="" type="checkbox"/> Before the mailing date of a first Office Action on the merits, or</li><li><input type="checkbox"/> Before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114.</li></ul> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p>
<input type="checkbox"/>	<p><b>37 CFR 1.97(c):</b> The information disclosure statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions:</p> <ul style="list-style-type: none"><li>(1) a final action under 37 C.F.R. 1.113 or</li><li>(2) a notice of allowance under 37 C.F.R. 1.311, or</li><li>(3) an action that otherwise closes prosecution in the application.</li></ul> <p>This Information Disclosure Statement is accompanied by:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</li></ul> <p style="text-align: center;">OR</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Please charge Deposit Account 19-1970 in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account 19-1970.</li></ul>
<input type="checkbox"/>	<p><b>37 CFR 1.97(d):</b> This Information Disclosure Statement is being submitted after the period specified in 37 CFR 1.97(c).</p> <ul style="list-style-type: none"><li><input type="checkbox"/> This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e)</li></ul> <p style="text-align: center;">AND</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Applicants hereby requests consideration of the reference(s) disclosed herein. Please charge Deposit Account 19-1970 in the amount of \$180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.</li></ul>



**Certification (37 C.F.R. 1.97(e))**  
(Applicable only if checked)

☐ The undersigned certifies that:

☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

☐ A copy of the communication from the foreign patent office is enclosed.

OR

☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,

SHERIDAN ROSS P.C.

By: \_\_\_\_\_

Matthew R. Ellsworth  
Registration No. 56,345  
1560 Broadway, Suite 1200  
Denver, Colorado 80202-5141  
(303) 863-9700

Date: \_\_\_\_\_

March 20, 2006



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application Number	10/533,402
Filing Date	December 6, 2005
First Named Inventor	DONNELLY, Frank Wegner
Art Unit	3746
Examiner Name	
Attorney Docket Number	5107-15

Sheet	1	of	8
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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-kind Code <sup>2 (if known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee of Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1.	US-D464,622 S	10-22-2002	Donnelly	
	2.	US-384,580	06-12-1888	E. Julien	
	3.	US-1,199,752	10-03-1916	C.W. Baker	
	4.	US-1,377,087	05-03-1921	J.A. Manns	
	5.	US-1,535,175	04-28-1925	R. Mancha	
	6.	US-2,403,933	04-16-1946	T.O. Lillquist	
	7.	US-2,472,924	06-14-1949	A.F. Schwendner	
	8.	US-2,510,753	06-06-1950	R.H. Multhaup	
	9.	US-3,169,733	02-16-1965	A.M. Barrett, Jr.	
	10.	US-3,443,115	05-06-1969	J.W. Timmerman, Jr.	
	11.	US-3,569,810	03-09-1971	Tom N. Thiele	
	12.	US-3,596,154	07-27-1971	Gurwicz et al.	
	13.	US-3,668,418	06-06-1972	Godard	
	14.	US-3,728,596	04-1973	Hermansson et al.	
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	16.	US-3,792,327	02-12-1974	Waldorf	
	17.	US-3,832,625	08-27-1974	Gyugyi	
	18.	US-3,898,937	08-12-1975	Johnson	
	19.	US-3,930,189	12-30-1975	Smith	
	20.	US-3,970,160	07-20-1976	Nowick	
	21.	US-3,982,164	09-21-1976	de Buhr	
	22.	US-3,997,822	12-14-1976	Logston et al.	
	23.	US-4,035,698	07-12-1977	Soderberg	
	24.	US-4,070,562	01-24-1978	Kuno et al.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant.

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25.	US-4,075,538	01-21-1978	Plunkett	
26.	US-4,090,577	05-23-1978	Moore	
27.	US-4,095,147	06-13-1978	Mountz	
28.	US-4,096,423	06-20-1978	Bailey et al.	
29.	US-4,107,402	08-15-1978	Dougherty et al.	
30.	US-4,152,758	05-1979	Bailey et al.	
31.	US-4,199,037	04-22-1980	White	
32.	US-4,204,143	05-20-1980	Coleman	
33.	US-4,217,527	08-12-1980	Bourke et al.	
34.	US-4,309,645	01-05-1982	De Villeneuve	
35.	US-4,344,139	08-10-1982	Miller et al.	
36.	US-4,347,569	08-31-1982	Allen, Jr. et al.	
37.	US-4,369,397	01-18-1983	Read	
38.	US-4,417,194	11-22-1983	Curtiss et al.	
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40.	US-4,471,276	09-11-1984	Cudlitz	
41.	US-4,471,421	09-11-1984	Brown et al.	
42.	US-4,495,449	01-22-1985	Black et al.	
43.	US-4,523,134	06-11-1985	Kinoshita et al.	
44.	US-4,644,232	02-17-1987	Nojiri et al.	
45.	US-4,701,682	10-20-1987	Hirotsu et al.	
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47.	US-4,900,944	02-13-1990	Donnelly	
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SignatureDate  
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52.	US-4,961,151	10-02-1990	Early et al.	
53.	US-5,129,328	07-14-1992	Donnelly	
54.	US-5,212,431	05-18-1993	Origuchi et al.	
55.	US-5,264,764	11-23-1993	Kuang	
56.	US-5,281,900	01-25-1994	Park	
57.	US-5,289,093	02-22-1994	Jobard	
58.	US-5,317,669	05-31-1994	Anderson et al.	
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60.	US-5,332,630	07-26-1994	Hsu	
61.	US-5,359,228	10-25-1994	Yoshida	
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63.	US-5,428,538	06-27-1995	Ferri	
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66.	US-5,453,672	09-26-1995	Avitan	
67.	US-5,453,672	09-26-1995	Avitan	
68.	US-5,480,220	01-1996	Kumar	
69.	US-5,510,203	04-23-1996	Shinji	
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71.	US-5,511,749	04-30-1996	Horst et al.	
72.	US-5,528,148	06-18-1996	Rogers	
73.	US-5,564,795	10-15-1996	Engle	
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78.	US-5,589,743	12-31-1996	King	

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Attorney Docket Number	5107-15

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80.	US-5,610,819	03-11-1997	Mann et al.	
81.	US-5,629,567	05-13-1997	Kumar	
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84.	US-5,659,240	08-19-1997	King	
85.	US-5,661,378	08-26-1997	Hapeman	
86.	US-5,685,507	11-11-1997	Horst et al.	
87.	US-5,696,438	12-09-1997	Hamilton	
88.	US-5,698,955	12-16-1997	Nii	
89.	US-5,735,215	04-07-1998	Tegeler	
90.	US-5,751,137	05-12-1998	Kiuchi et al.	
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92.	US-5,820,172	10-13-1998	Brigham et al.	
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104.	US-6,211,646	04-03-2001	Katsumi	
105.	US-6,308,639 B1	10-30-2001	Donnelly et al.	

Examiner  
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Considered

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				Art Unit	3746
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	106.	US-6,331,365 B1	12-18-2001	King	
	107.	US-6,367,891 B1	04-09-2002	Smith et al.	
	108.	US-6,408,766 B1	06-25-2002	McLaughlin et al.	
	109.	US-6,441,581 B1	08-27-2002	King et al.	
	110.	US-6,449,536 B1	09-10-2002	Brousseau et al.	
	111.	US-6,456,674 B1	09-24-2002	Horst et al.	
	112.	US-6,470,245 B1	10-22-2002	Proulx	
	113.	US-6,591,758 B2	07-15-2003	Kumar	
	114.	US-6,612,245 B2	09-02-2003	Kumar et al.	
	115.	US-6,612,246 B2	09-02-2003	Kumar	
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	117.	US-6,634,303 B1	10-21-2003	Madsen et al.	
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	119.	US-6,653,002	11-25-2003	Ronald	
	120.	US-6,658,331 B2	12-02-2003	Horst et al.	
	121.	US-6,691,005 B2	02-10-2004	Proulx	
	122.	US-6,697,716 B2	02-24-2004	Horst	
	123.	US-6,737,822 B2	05-18-2004	King	
	124.	US-6,812,656 B2	11-02-2004	Donnelly et al.	
	125.	US-6,879,054	04-12-2005	Gosselin	
	126.	US-6,909,200	06-21-2005	Bouchon	
	127.	US-2003-0151387 A1	08-14-2003	Kumar	
	128.	US-2003-0150352 A1	08-14-2003	Kumar	
	129.	US-2003-0233959 A1	12-25-2003	Kumar	
	130.	US-2005-0024001 A1	02-03-2005	Donnelly et al.	
	131.	US-2005-0045058 A1	03-03-2005	Donnelly et al.	
	132.	US-11/060,087		Donnelly	Filed 02-17-2004

Examiner Signature		Date Considered	
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Sheet	6	of	8	Attorney Docket Number	5107-15

	133.	US-11/060,221		Donnelly	Filed 02-17-2004
	134.	US-11/060,223		Donnelly et al.	Filed 02-17-2004
	135.	US-11/070,848		Maier	Filed 03-01-2005
	136.	US-11/075,550		Donnelly	Filed 03-08-2005
	137.	US-11/095,036		Donnelly	Filed 03-30-2005
	138.	US-60/600,330		Donnelly	Filed 08-09-2004
	139.	US-60/607,194		Donnelly	Filed 09-03-2004
	140.	US-60/616,173		Donnelly	Filed 10-04-2004
	141.	US-60/618,631		Donnelly	Filed 10-13-2004
	142.	US-60/618,632		Donnelly	Filed 10-13-2004
	143.	US-60/674,837		Donnelly	Filed 04-25-2005

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>2</sup> ; Number <sup>4</sup> ; Kind Code <sup>5</sup> (if known)						
	144.	CA	-	1,283,472	10-15-1987	Donnelly		
	145.	CA	-	2,411,132	11-05-2002	Donnelly		
	146.	PCT	-	WO 03/072388	09-04-2003	Donnelly et al.		
	147.	PCT	-	WO 04/042890	05-21-2004	Donnelly		
	148.	UK	-	873,167	03-24-1960	Bachem et al.		
	149.	UK	-	1,129,709	11-18-1966	G&M Power Plant Co. Ltd		
	150.	UK	-	1 312 699	10-10-1970	Conveyancer Limited		
	151.	UK	-	2 005 205 A	09-02-1977	Coal Industry Limited		
	152.	EP	-	0 348 938	01-03-1990	Loher AG		

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)		
Examiner Initials*	Cite No. <sup>1</sup>	
	153.	Thompson, "Electric Transportation," International Textbook Co., Scranton, Pa; (1 <sup>st</sup> Ed., 1940), pgs. 254-262.

Examiner Signature		Date Considered	
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				First Named Inventor	DONNELLY, Frank Wegner
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				Examiner Name	
Sheet	7	of	8	Attorney Docket Number	5107-15

	154.	Mendler, "The Technological Opportunities of Hybrid Electric Vehicles," Society of Automotive Engineers, Inc. (1996), pgs. 1-16.
	155.	Mercer, "Innovative Use of Horsepower - Hybrid Bus Powered by Gas Turbine," <u>Diesel Progress</u> (Dec. 1997), pgs. 56-57.
	156.	Berg, "Concept Truck Addresses Future Clean Air Demands With Hybrid Turbine-Electric Powertrain," <u>Emissions Alternatives Fuels</u> (date unknown), pgs. 55-57.
	157.	FMTV - with HybriDrive Propulsion System, pgs. 1-3.
	158.	Nene, "Advanced Propulsion Systems for Urban Rail Vehicles: Chapter 2: DC Drives with a Chopper Controller," Prentice-Hall, Inc. (1985), pgs. 18-45.
	159.	Kostic et al., "An Analytic Solution of the Choppers Ripple Currents," Proceedings of the 1993 IEEE/ASME Joint Railroad Conference, April 1993, pp. 103-107.
	160.	Hassan Moghbelli et al., "Chopper Design for NICTD Locomotives," Proceedings of the 1993 IEEE/ASME Joint Railroad Conference, April 1993, pp. 67-75.
	161.	C.E. Band et al., "Development of and Operational Experience with a High Powered D.C. Chopper for 1500 Volt D.C. Railway Equipment," Institution of Electrical Engineers Conference Publication 53 on Power Thyristors and Their Applications, Part 1 (May 1969), 1-page.
	162.	M.J. Hapeman et al., "Diesel Electric Locomotive Propulsion Systems - A Look into the Future," IEEE Technical Papers Presented at the 1985 Joint ASME/IEEE Railroad Conference, New York City, NY, Apr. 16-18, 1985, pp. 108-115.
	163.	Joseph Szyborski et al., "Examination of VRLA Battery Cells Sampled from the Metlakatla Battery Energy Storage System".
	164.	"Locomotive Energy Storage System," Advanced Railway Technology, Inc. (Dec. 1985).
	165.	Declaration of Frank Donnelly Under 37 CFR § 1.98.
	166.	Declaration of Ronald Bailey under 37 CFR § 1.98 dated Dec. 3, 2004 for U.S. Application Serial No. 10/650,011, 3 pages.
	167.	"Lead-Acid Battery State of Charge vs. Voltage", Richard Perez, Home Power #36, August/September 1993.
	168.	"Thermal Evaluation of the Honda Insight Battery Pack" M.D. Zolot et. al. National Renewable Energy Laboratory, Presented at the 36th Intersociety Energy Conversion Engineering Conference, Savannah Georgia, July 29 to Aug 2 2001.
	169.	"Development of a New Battery System for Hybrid Vehicle", Tomokazu Yamauchi et al, Toyota, presented at the EVS 17 in Montreal, Oct. 2000
	170.	"Supercapacitive Energy Storage for Diesel-Electric Locomotives", Destraz, Barrade and Rufer, Swiss Federal Institute of Technology, paper presented at SPEEDAM 2004, June 16, Capri, Italy.

Examiner Signature		Date Considered	
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				Examiner Name	
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	171.	Press Release: "French Railway Company Voies Ferees Legeres et Industrielles (VFLI) Puts Its Trust in Deutch Engines", June 2003
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Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant.